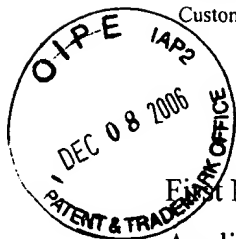


32692

Customer Number

Patent
Case No.: 54839US002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: AVERILL, RICHARD F.

Application No.: 09/302336

Confirmation No.: 6751

Filed: April 29, 1999

Title: METHOD OF GROUPING AND ANALYZING CLINICAL RISKS,
AND SYSTEM THEREFOR

INFORMATION DISCLOSURE STATEMENT

Mail Stop: Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR § 1.8(a)]

I hereby certify that this correspondence is being:

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☐ transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at 571-273-8300.

December 4, 2006

Date

Phyllis J. Boettcher

Signed by: Phyllis J. Boettcher

Dear Sir:

Pursuant to 37 CFR §§ 1.56, 1.97, and 1.98, enclosed is a completed Form PTO-1449, citing references submitted for consideration by the Examiner. It is respectfully requested that the Examiner initial and return the enclosed Form PTO-1449 to indicate that each reference has been considered.

Copies of any cited foreign patents, foreign publications, non-patent literature documents, and any pending U.S. applications filed before June 30, 2003, are enclosed. Copies of any pending U.S. applications filed after June 30, 2003 that can be accessed on the USPTO's IFW system are not enclosed as per USPTO Waiver dated September 21, 2004. Copies of any U.S. patents and published U.S. patent applications are not enclosed.

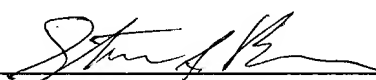
If a first Office Action on the merits has been mailed prior to the mailing date of this document, please charge the fee for consideration of an Information Disclosure Statement set forth in 37 CFR § 1.17(p).

Fees:

- ☐ Please charge the fee provided in 37 CFR § 1.17(p) to Deposit Account No. 13-3723.
One copy of this sheet marked duplicate is also enclosed.
- ☐ Any required fee will be paid at the time of EFS-Web submission.
- ☒ It is believed that no fee is due; however, in the event a fee is required, please charge the fee to Deposit Account No. 13-3723.

Respectfully submitted,

December 4, 2006
Date

By: 
Steven A. Bern, Reg. No.: 57,095
Telephone No.: 651-733-2255

Office of Intellectual Property Counsel
3M Innovative Properties Company
Facsimile No.: 651-736-3833

Application Number

11/465901

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Filing Date

August 21, 2006

First Named Inventor

Averill, Richard F.

Confirmation Number

1114

Attorney Case Number

54839US007

Use as many sheets as necessary)

Page 1 of 2

U.S. Patent Documents

Exam. Init.*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)			
	A1	US- 5,018,067	05-21-1991	Mohlenbrock et al.	
	A2	US- 5,229,584	07-20-1993	Erickson	
	A3	US- 5,253,164	10-12-1993	Holloway et al.	
	A4	US- 5,483,443	01-09-1996	Milstein et al.	
	A5	US- 5,486,999	01-23-1996	Mebane	
	A6	US- 5,508,912	04-16-1996	Schneiderman	
	A7	US- 5,557,514	09-17-1996	Seare, et al.	
	A8	US- 5,835,897	11-10-1998	Dang	
	A9	US- 6,370,511 B1	04-09-2002	Dang	
	A10	US-			

Foreign Patent Documents

Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-Kind Code (If known)				
	B1	WO	9701141	01-09-1997	Symmetry Health Data Systems, Inc.		
	B2	WO	9117510	11-14-1991	Healthchex, Inc.		
	B3						
	B4						
	B5						

OTHER DOCUMENTS

Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation (Check if yes)
	C1	ASH A., et al., "Risk Adjustment for the Non-Elderly," Report supported by a grant from the Health Care Financing Administration (HCFA), Contract No. 18-C-90462/1-02, September 4, 1997.	
	C2	BERTKO, J., HUNT, S., "Case study: The Health Insurance Plan of California," <i>Inquiry</i> 35 (2) Summer 1998 148-153.	
	C3	CARTER, G. M., JACOBSON, J.D., KOMINSKI, G. F., and PERRY, M.J., "Use of Diagnosis-related Groups by Non-Medicare Payers," <i>Health Care Financing Review</i> , 16(2), 1994, 127-158.	

*Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement)

Substitute for form 1449A/PTO (modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) Page 2 of 2	Application Number	11/465901
	Filing Date	August 21, 2006
	First Named Inventor	Averill, Richard F.
	Confirmation Number	1114
	Attorney Case Number	54839US007

OTHER DOCUMENTS			
Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation (Check if yes)
	C4	CUMMING, Robert B. and CAMERON, Brian A., "A Comparative Analysis of Claims-Based Methods of Health Risk Assessment for Commercial Population", A research study sponsored by the Society of Actuaries, May 24, 2002. Web-site location: www.soa.org/ccm/cms-service/stream/asset?asset_id=9215098&g11n	
	C5	"DXCG and Risk Adjustment Bibliography", obtained from www.dxcg.com , published 2001.	
	C6	"From Diagnosis Codes to Diagnostic Cost Groups", obtained from www.dxcg.com , Document data originally reported and published from 1986 to 1999.	
	C7	"Introduction to DCGs," published at http://www.dxcg.com/introduct.htm , 4/30/99.	
	C8	KRONICK, R., Ph.D., DREYFUS, T., M.C.P., LEE, L., M.S., and ZHOU, Z., Ph.D., "Diagnostic Risk Adjustment for Medicaid: The Disability Payment System," <i>Health Care Financing Review/Spring 1996/Volume 17, Number 3</i> , 7-33.	
	C9	KRONICK et al., "Improving Health-Based Payment for Medicaid Beneficiaries: CDPS," <i>Health Care Financing Review</i> , Spring 2000, Vol. 21, No. 3, pp. 29 – 64.	
	C10	POPE, G., LIU, C., ELLIS, R. and ASH, A., et al., "Principal Inpatient Diagnostic Cost Group Models for Medicare Risk Adjustment," Appendix 2, <i>Health Economic Research</i> , January, 1999.	
	C11	POPE, G., et al., "Revised Diagnostic Cost Group (DCG)/Hierarchical Coexisting Conditions (HCC) Models for Medicare Risk Adjustment," Final Report, Health Economics Research, Inc., Waltham, MA, prepared for Health Care Financing Administration, February 6, 1998.	
	C12	Terms and Definitions of ICD-9 codes obtained from http://svr-www.eng.cam.ac.uk/projects/qamc/Terms.html . Document data originally published in 1975.	
	C13	"What are ACGs," published at http://acg.jhsph.edu/what/what.html , 4/30/99.	

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